

Criminal Background Check Requirements

Please read this notice carefully.

All persons applying for registration as an issuer agent or investment adviser representative shall submit proof of an FBI Criminal Background Check to the Department of Financial Institutions as a part of the application. **This requirement shall not apply to an individual who is currently registered in Kentucky as a broker-dealer agent and who has submitted a fingerprint card to an SRO.**

Where can I obtain the necessary FBI forms? The fingerprint cards and identification record check can be printed from the FBI's Web site at www.fbi.gov. **You will need the fingerprint card and an identification record check for PERSONAL REVIEW.**

Who will take my fingerprints? Most local law enforcement agencies, county sheriff's departments, some city and county police departments, or any state police post may be able to take your fingerprints. In Louisville, the Department of Corrections, located at the county jail on Sixth Street, handles fingerprinting services for the Jefferson County Sheriff's Department. Some law enforcement agencies may charge a fee for fingerprinting services. The cost may vary.

What is the cost and where do I send it? Send the completed fingerprint card, a short letter (a sample letter is attached) advising the FBI that the report is **desired for personal review**, and a certified check or money order, payable to the Treasury of the United States, in the amount of \$18 to the address listed below. If all items are not included, the request will be returned to you by the FBI for correction.

Federal Bureau of Investigation
Criminal Justice Information Services Division
SCU MOD D2
1000 Custer Hollow Road
Clarksburg, WV 26306

What if my report comes back indicating that the prints are unreadable or indiscernible? If a criminal background report comes back from the FBI indicating that the prints are indiscernible or unreadable, the applicant should get a second set of prints at the nearest state police post and resubmit them to the FBI for processing. If the second report comes back with the same result, then DFI has an affidavit that the applicant can sign before a notary to use for the issuance of the license. All of the original fingerprint cards and reports must be submitted along with the affidavit in order for the affidavit to be valid. If the candidate goes to the state police post first and that report comes back unacceptable, then they must have the prints done at one other location. Thus, no license will be issued to an applicant (using an affidavit) unless there have been at least two FBI reports obtained that indicate a failure to read the prints, one of which resulted in the fingerprints being done by the state police.

Also, we cannot accept a copy of a report that has been done for any other entity or organization. Applicants must have their prints taken and forwarded to the FBI for processing. The original fingerprint card and report must be submitted along with the application for registration.

How long does this process take and how long is the report valid? It takes approximately 14 to 16 weeks upon submission of the fingerprint card to the FBI. Thus, you should apply for the criminal background report immediately.

The report is only valid for six months; therefore, the report should be obtained within six months of submitting all registration requirements.

What should I do if my report is clear? The report will be mailed directly to you. The original report(s) and fingerprint cards must be submitted with the other documents that are required to obtain your registration. Photocopies of the fingerprint card and/or the written report from the FBI are not acceptable.

What happens if I have a conviction that is not disclosed on the Form U-4 Application? The application may be denied.

If you have further questions, contact the Division of Securities:

Kentucky Department of Financial Institutions
1025 Capital Center Drive, Suite 200
Frankfort, KY 40601
Phone: (502) 573-3390 or (800) 223-2579
Fax: (502) 573-2182
Web Site: www.kfi.ky.gov

Federal Bureau of Investigation
Criminal Justice Information Services Division
1000 Custer Hollow Road
Clarksburg, WV 26306

RE: CRIMINAL BACKGROUND CHECK

I am requesting this background check and report for a personal review. Enclosed is the required, completed fingerprint card, along with the \$18 processing fee (certified check or money order payable to: Treasury of the United States).

PLEASE RETURN THE REPORT TO ME AT THE FOLLOWING ADDRESS:

Printed or Typed:

Full Legal Name

Street Address

City, State, Zip Code

Signature

Date